



2621

Attorney's Docket No. 074451.P024XD

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Ahmad Zandi

Application No.: 09/499,255

Filed: February 7, 2000

For: METHOD AND APPARATUS FOR
COMPRESSION USING REVERSIBLE
WAVELET TRANSFORMS AND AN
EMBEDDED CODESTREAM

Examiner: Phuoc Tran

Art Unit: 2621

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Technology Center 2600

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on March 25, 2004.
(Date of Deposit)

Alma Goldchain

(Typed or printed name of person mailing correspondence)

(Signature of person mailing correspondence)

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Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

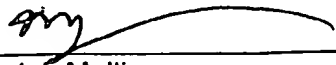
- X 37 C.F.R. §1.97(b).
- 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:
- A statement pursuant to 37 C.F.R. §1.97(e) or
- A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).
- 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
 - (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 3/23, 2004



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Reg. No. 36,591

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Form PTO-1449
(REV. 8-83)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

74451.P024XD

09/499,255

APPLICANT

Zandi, et al.

FILING DATE

2/7/00

GROUP

2621

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	13 5 2 4 1 3 9 5	8-31-93	Chen			
	14 5 3 8 1 1 4 5	1-10-95	Allen et al.			
	15 4 8 9 4 7 1 3	1-16-90	Delogne et al.			
	16 4 9 2 2 5 4 4	5-1-90	Stansfield et al.			
	17 4 9 9 9 7 0 5	3-12-91	Puri			
	18 5 1 0 9 4 5 1	4-28-92	Aono et al.			
	19 5 2 3 5 4 3 4	8-10-93	Wober			
	20 5 3 3 5 0 1 6	8-02-94	Nakagawa			

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	21 WC 9108902	3-21-91	PCT				
	22 0611051A1	8-17-94	EPO				
	23 2211691A	5-07-89	UK				
	24 0593013A2	4-20-94	EPO				
	25 0510933A1	10-28-92	EPO				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	26	Amir Said et al... "Image Compression Using the Spatial-Orientation Tree", IEEE, 1993 p.279-282

EXAMINER

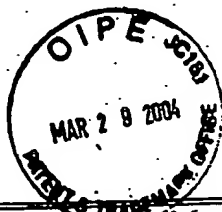
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*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to



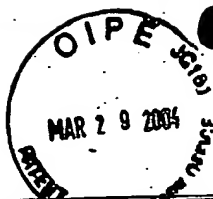


Form PTO-1449 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	27	12/10/91	5,072,308	LIN ET AL.				
	28	3/17/92	5,097,331	CHEN ET AL.				
	29	3/31/92	5,101,280	MORONAGA ET AL.				
	30	7/7/92	5,128,791	LEGALL ET AL.				
	31	1/26/93	5,182,645	BREEUWER ET AL.				
	32	5/24/94	5,315,670	SHAPIRO				
	33	6/14/94	5,321,776	SHAPIRO				
	34	5/2/95	5,412,741	SHAPIRO				
	35	5/15/79	4,155,097	LUX				
	36	2/26/80	4,190,861	LUX				
	37	11/16/93	5,262,958	CHUI ET AL.				
	38	2/27/96	5,495,292	ZHANG ET AL.				
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans- lation
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
Examiner				Date Considered				
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Page 6 of 23

Form PTO-449 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	39	3/24/87	4,652,881	LEWIS				
	40	6/16/87	4,674,125	CARLSON ET AL.				
	41	11/15/88	4,785,348	FONSALAS ET AL.				
	42	1/17/89	4,799,179	MASSON ET AL.				
	43	3/21/89	4,815,023	ARBEITER				
	44	6/13/89	4,839,889	GOCKLER				
	45	9/19/89	4,868,868	YAZU ET AL.				
	46	4/17/90	4,918,524	ANSARI ET AL.				
	47	9/17/91	5,049,992	CITTA ET AL.				
	48	9/17/91	5,049,993	LEGALL ET AL.				
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans- lation
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
Examiner				Date Considered				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								



Page 7 of 23

Form PTO-2449 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	49	5/9/89	4,829,378	LEGALL				
	50	6/6/89	4,837,517	BARBER				
	51	9/5/89	4,864,398	AVIS ET AL.				
	52	1/30/90	4,897,717	HAMILTON ET AL.				
	53	2/27/90	4,904,073	LAWTON ET AL.				
	54	5/29/90	4,929,223	WALSH				
	55	6/26/90	4,936,665	WHITNEY				
	56	11/27/90	4,974,187	LAWTON				
	57	1/1/91	4,982,283	ACAMPORA				
	58	7/12/83	4,393,456	MARSHALL, JR.				
	59	2/4/86	4,569,075	NUSSBAUMER				
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans- lation
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
	60	"Proceedings: ICASSP 87", 1987 International Conference on Acoustics, Speech, and Signal Processing, April 6, 7, 8, 9, 1987, Volume 4 of 4, "Application of Quadrature Mirror Filtering to the Coding of Monochrome and Color Images", H. Gharavi and A. Tabatabai, p. 2384-2387.						
	61	International Search Report for Application No: GB 9518298.6, dated 8 November 1995.						
Examiner				Date Considered				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								



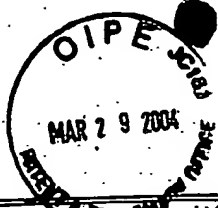
Page 8 of 23

Form PTO-609 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	62	1/30/79	4,136,954	JAMIESON				
	63	9/16/80	4,223,354	NOBLE ET AL.				
	64	7/8/86	4,599,567	GOUPILLAUD ET AL.				
	65	5/5/87	4,663,660	FEDELE ET AL.				
	66	10/20/87	4,701,006	PERLMUTTER				
	67	7/26/88	4,760,563	BEYLKIN				
	68	11/15/88	4,785,349	KEITH ET AL.				
	69	2/14/89	4,805,129	DAVID				
	70	3/28/89	4,817,182	ADELSON ET AL.				
	71	4/11/89	4,821,223	DAVID				
	72	5/2/89	4,827,336	ACAMPORA ET AL.				
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans- lation
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
	73	Mark J. T. Smith and Thomas P. Barnwell, III, "Exact Reconstruction Techniques for Tree-Structured Subband Coders", IEEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-34, No. 3, June 1986, p. 434-441.						
	74	Marvin Vetterli, "Multi-Dimensional Sub-Band Coding: Some Theory and Algorithms", Signal Processing 6 (1984) p. 97-112.						
	75	H. Gharavi and Ali Tabatabai, "Sub-band Coding of Digital Images Using Two-Dimensional Quadrature Mirror Filtering", SPIE Vol. 707 Visual Communications and Image Processing (1986), p. 51-61.						
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Page 9 of 23

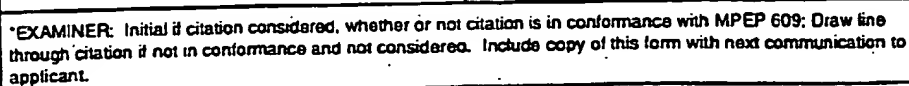
Form PTO-1449 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	76	4/7/92	5,103,306	WEIMAN ET AL.				
	77	6/9/92	5,121,191	CASSEREAU ET AL.				
	78	6/23/92	5,124,930	NICOLAS ET AL.				
	79	7/7/92	5,128,757	CITTA ET AL.				
	80	9/15/92	5,148,498	RESNIKOFF ET AL.				
	81	10/6/92	5,152,953	ACKERMANN				
	82	10/20/92	5,156,943	WHITNEY				
	83	12/22/92	5,173,880	DUREN ET AL.				
	84	5/30/95	5,420,891	AKANSU				
	85	5/25/71	3,580,655	LEITH ET AL.				
	86	4/13/76	3,950,103	SCHMIDT-WEINMAR				
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87	✓	WO 96/09718	3/28/96	PCT				
88	✓	WO 95/19683	7/20/95	PCT				
89		EP 0701375 A2	3/13/96	EUROPE				
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
	90	John W. Woods and Sean D. O'Neil, "Sub-Band Coding of Images", Proceedings ICASSP 86, Tokyo, Japan, April 1986, p. 1005-1008.						
	91	John W. Woods, "Subband Coding of Images", IEEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-34, No. 5, October 1986, p. 1278-1288.						
	92	"Proceedings: ICASSP 87", 1987 International Conference on Acoustics, Speech, and Signal Processing, April 6, 7, 8, 9, 1987, Volume 3 of 4, "Sub-band Coding of Images Using Predictive Vector Quantization", P. H. Westerink, J. Biemond and D. E. Boekee, p. 1378-1381.						
Examiner				Date Considered				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								



Form PTO-1459 (Modified)				Atty Docket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date	
	93	1/15/91	4,985,927	NORWOOD ET AL.				
	94	1/22/91	4,987,480	LIPPMAN ET AL.				
	95	3/19/91	5,000,183	BONNEFOUS				
	96	3/19/91	5,001,764	WOOD ET AL.				
	97	5/7/91	5,014,134	LAWTON ET AL.				
	98	5/21/91	5,018,210	MERRYMAN ET AL.				
	99	11/26/91	5,068,911	RESNIKOFF ET AL.				
	100	12/17/91	5,073,964	RESNIKOFF				
	101	1/14/92	5,081,645	RESNIKOFF ET AL.				
	102	3/10/92	5,095,447	MANNS ET AL.				
	103	3/31/92	5,101,446	RESNIKOFF ET AL.				
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No.		Document No.	Date	Country	Name	Class	Sub-Class	Translation
	104	WO 94/23385	10/13/94	PCT				
	105	0 622 741 A2	3/30/94	Europe				
	106	GB 2 284 121 A	5/24/95	UK				
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
	107	"1977 IEEE International Conference on Acoustics, Speech & Signal Processing", "Application of Quadrature Mirror Filters to Split Band Voice Coding Schemes", D. Esteban and C. Galand, p. 191-195.						
	108	Martin Vetterli, "Filter Banks Allowing Perfect Reconstruction", Signal Processing 10 (1986), p. 219-244.						
	109	R. E. Crochiere, S. A. Webber, J. L. Flanagan, "Digital Coding of Speech in Sub-bands", 1976, American Telephone and Telegraph Company, The Bell System Technical Journal, Vol. 55, No. 8, October 1976, p. 1069-1085.						
Examiner				Date Considered				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

Sheet 11 of 23

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Sheet 13 of 23

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Sheet 14 of 23

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Sheet 16 of 23

Form PTO-1449
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
74451.P024XDSERIAL NO.
09/499,255

INFORMATION DISCLOSURE CITATION

APPLICANT
Zandi, et al.FILING DATE
2/7/00GROUP
2621

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	125 5347479	9/13/94	Miyazaki			
	126 5412741	5/2/95	Shapiro			
	127 5453945	9/26/95	Tucker, et al.			
	128 5497435	3/5/96	Berger			
	129 5534925	7/9/96	Zhong			
	130 5537493	7/16/96	Wildinson			
	131 5546477	8/13/96	Knowles, et al.			
	132 5563690	10/8/96	Shapiro			
	133 5602589	2/11/97	Vishwanath, et al.			

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED

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Notice of References Cited

Application No.
09/499,255

Applicant(s)
Zandi et al.

Examiner
Phuoc Tran

Group Art Unit
2621

Page 19 of 23

U.S. PATENT DOCUMENTS

DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
141 5,867,602	2/99	Zandi et al.	382	248
B.				
C.				
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FOREIGN PATENT DOCUMENTS

DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
142 EP-0682741 A2	11/94	EP	Knowles		
O.					
P.					
Q.					
R.					
S.					
T.					

NON-PATENT DOCUMENTS

DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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W.	
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FORM PTO-892

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SERIAL NO.

09//499,255

GROUP ART
UNIT

2612

ATTACHMENT
TO PAPER NO.

NOTICE OF REFERENCES CITED

APPLICANT(S)

Zandi et al.

U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	A	4,858,017	8/1989	Torbey	358	426	
	B	5,384,869	1/1995	Wilkinson et al	382	240	10/1992
	C	5,412,741	5/1995	Shapiro	382	232	1/1993
	D	5,481,308	1/1996	Hartung et al.	348	398	2/1992
	E	5,495,292	2/1996	Zhang et al.	348	407	3/1993
	F	5,541,594	6/1996	Huang et al.	348	414	3/1994
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FOREIGN PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
	L						
	M						
	N						
	O						
	P						
	Q						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

*	R	Langdon, Jr., Sunset: a hardware oriented algorithm for lossless compression of gray scale images, 1991, pgs. 272-282.
	S	Shapiro, Embedded Image Coding Using Zerotrees of Wavelet Coefficients, 12/1993, pgs. 3445-3462.
	T	Reusens et al., New Results in subband/wavelet image coding, 5/1993, pgs. 381-385.
	U	

EXAMINER

Timothy M. Johnson

DATE

August 7, 1996

Form 892ccs2106b

* A copy of this reference is not being furnished with this office action.
(See Manual of Patent Examining Procedure, section 707.05(a).)



FORM PTO-892

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICESERIAL NO.
09/499,255GROUP ART
UNIT
2612ATTACHMENT
TO PAPER NO.

NOTICE OF REFERENCES CITED

APPLICANT(S)

Zandi et al.

U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	A	5,495,292	2/1996	Zhang et al.	348	407.1	9/1993
	B						
	C						
	D						
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	F						
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	H						
	I						
	J						
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FOREIGN PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
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	M						
	N						
	O						
	P						
	Q						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

Timothy M. Johnson

DATE

October 15, 2000

Form 892ccs2106b.

* A copy of this reference is not being furnished with this office action.
(See Manual of Patent Examining Procedure, section 707.05(a).)



FORM PTO-892

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SERIAL NO.

09/499,258

GROUP ART
UNIT
2612ATTACHMENT
TO PAPER NO.

NOTICE OF REFERENCES CITED

APPLICANT(S)

Zandi et al.

U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	A						
	B						
	C						
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FOREIGN PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB- CLASS
	L						
	M						
	N						
	O						
	P						
	Q						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	R	Pollara et al., Rate-distortion efficiency of subband coding with integer coefficient filters, 7/1994, pp. 419, Information Theory, 1994, IEEE.
	S	
	T	
	U	

EXAMINER

Timothy M. Johnson

DATE

May 31, 2001

Form 892ccs2106b

* A copy of this reference is not being furnished with this office action.
(See Manual of Patent Examining Procedure, section 707.05(a).)

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

of

Application Number	09/499,255
Filing Date	2/7/00
First Named Inventor	Ahmad Zandi et al.
Group Art Unit	2612
Examiner Name	John M. Johnson
Attorney Docket Number	74451.P024XD

PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

[illegible]

Examiner
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